

## INVENTOR DECLARATION

Attorney Docket No.

P01433US1

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled "CHEMICALLY MODIFIED BIOLOGICAL MOLECULES AND METHODS FOR COUPLING BIOLOGICAL MOLECULES TO SOLID SUPPORT", the specification of which

(check one) ☒ is attached hereto.  
☐ was filed on \_\_\_\_\_ as Application Serial No. or PCT international application No. [\_\_\_\_\_] and was amended on \_\_\_\_\_ (if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, § 1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed:

## Prior Foreign Application(s)

## Priority Claimed

_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<input type="checkbox"/> Yes	<input type="checkbox"/> No

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below:

_____ (Application Serial No.)	_____ (Filing Date)
_____ (Application Serial No.)	_____ (Filing Date)

I hereby claim the benefit under Title 35, United States Code § 120 of any United States application(s), or § 365(b) of any PCT international application designating the United States of America, listed below and insofar as the subject matter of each of the claims of this application is not disclosed in the prior U.S. or PCT international application in the manner provided by the first paragraph of Title 35, U.S.C. § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations § 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application.

_____ 09/071,876 (Application Serial No.)	_____ May 1, 1998 (Filing Date)	_____ Pending (Status) (patented, pending, abandoned)
_____ (Application Serial No.)	_____ (Filing Date)	_____ (Status) (patented, pending, abandoned)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

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P.04

Full Name of Sole or First Inventor Allan Bradley	Inventor's Signature <i>Allan Bradley</i>	Date April 10 <sup>th</sup> 2000
Residence 5127 Queensloch, Houston, TX 77096		Citizenship United Kingdom
Post Office Address Same as above		

Full Name of Second Inventor Wei-Wen Cai	Inventor's Signature <i>Wei-Wen Cai</i>	Date April 10 <sup>th</sup> 2000
Residence 8450 Cambridge #3139, Houston, TX 77054		Citizenship China
Post Office Address Same as above		

Full Name of Third Inventor	Inventor's Signature	Date
Residence		Citizenship
Post Office Address		

Full Name of Fourth Inventor	Inventor's Signature	Date
Residence		Citizenship
Post Office Address		

Full Name of Fifth Inventor	Inventor's Signature	Date
Residence		Citizenship
Post Office Address		

Full Name of Sixth Inventor	Inventor's Signature	Date
Residence		Citizenship
Post Office Address		

Full Name of Seventh Inventor	Inventor's Signature	Date
Residence		Citizenship
Post Office Address		

Full Name of Eighth Inventor	Inventor's Signature	Date
Residence		Citizenship
Post Office Address		

Applicant or Patentee: A. Bradley et al.  
Serial or Patent No.:  
Filed or Issued: 5-1-98  
For Title:

Express Mail No. EI359849784US

Attorney's  
Docket No.:

P-01433US1

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) AND 1.27(d)) - NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION Baylor College of Medicine  
ADDRESS OF ORGANIZATION One Baylor Plaza  
Houston, Texas 77030-3498

**TYPE OF ORGANIZATION**

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
- ☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) AND 501(c)(3))
- ☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)
- ☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) AND 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA
- ☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled \_\_\_\_\_

Chemically Modified Nucleic Acids and Method for  
Coupling Nucleic Acids to Solid Support

by inventor(s) Allan Bradley and Wei Wen Cai

- ☒ the specification filed herewith
- ☐ application serial no. \_\_\_\_\_, filed \_\_\_\_\_
- ☐ patent no. \_\_\_\_\_, issued \_\_\_\_\_

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27).

NAME \_\_\_\_\_  
ADDRESS \_\_\_\_\_  
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

NAME \_\_\_\_\_  
ADDRESS \_\_\_\_\_  
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING W. Dalton Tomlin  
TITLE IN ORGANIZATION Senior Vice President and General Counsel  
ADDRESS OF PERSON SIGNING One Baylor Plaza  
Houston, Texas 77030-3498

SIGNATURE W. Dalton Tomlin DATE May 1, 1998

## ASSIGNMENT

WHEREAS, we, ALLAN BRADLEY, a citizen of United Kingdom, residing at 5127 Queensloch, Houston, Texas 77096, and WEI WEN CAI, a citizen of China, residing at 2250 Holly Hall #3103, Houston, Texas 77054, (herein called "Assignors") are the co-inventors of a certain new and useful invention entitled "CHEMICALLY MODIFIED NUCLEIC ACIDS AND METHODS FOR COUPLING NUCLEIC ACIDS TO SOLID SUPPORT" (herein called the "Invention"); and

WHEREAS, Assignors are Employees (herein called "College Personnel") of BAYLOR COLLEGE OF MEDICINE, a non-profit corporation duly organized and existing under and by virtue of the laws of the State of Texas, and having a principal place of business at Texas Medical Center, One Baylor Plaza, Houston, Texas 77030 (herein called "Assignee");

WHEREAS, Assignors represent that they are the sole and only inventors of the Invention and that the Invention was made, conceived and/or reduced to practice while Assignors were serving in their positions of College Personnel of Assignee;

WHEREAS, Assignee is desirous of acquiring and Assignors are desirous of assigning to Assignee all rights to said Invention under the terms and provisions of the policy on Inventions and Patents adopted by the Board of Trustees of Baylor College of Medicine ("Baylor's Patent Policy");

WHEREAS, this assignment is preparatory to a contemplated further licensing by Assignee of the Invention to a corporation or other entity for commercialization of the Invention;

WHEREAS, Assignors acknowledge that they are assigning their right as part of their obligations as College Personnel, their use of the facilities of Assignee to make the Invention and his/her desire to receive consideration under the Baylor Patent Policy;

NOW, THEREFORE, Assignors, for and in consideration of the benefits to be accorded including payments to be made to, or equity to be received by, Assignors under Baylor's Patent Policy and for other good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, do hereby SELL, ASSIGN and CONVEY unto Assignee, under the terms and conditions of Baylor's Patent Policy all of Assignors' rights throughout the world in and to:

1. Said Invention;
2. United States of America patent application on said Invention filed concurrently;
3. All applications for patent or like protection on said Invention that have now been or may in the future be filed by Assignors or their legal representatives, whether in the United States of America or any other country or place anywhere in the world;
4. All patents and like protection that have now been or may in the future be granted on said Invention to Assignors or their legal representatives, whether in the United States of America or in any other country or place anywhere in the world;
5. All substitutions for and divisions, continuations, renewals, reissues, extension, and the like of said applications and patents and like grants, including without limitation, those obtained or permissible under past, present and future law or statutes;
6. All rights of action on account of past, present and future unauthorized use of said Invention and for infringement of said patents and like protection;
7. The right to Assignee to file in its name applications for patents and like protection for said Invention in any country or countries foreign to the United States; and
8. All international rights or priority associated with said Invention, applications, patents and like protection.

Assignors covenant that Assignors, their heirs, legal representatives, assigns, administrators, and executors will, at the expense of Assignee, its successors and assigns, execute all papers and perform such other acts as may be reasonably necessary to give Assignee, its successors and assigns, the full benefit of this Assignment.

This assignment of the Invention is intended to be part of an integrated plan to transfer by means of license or otherwise the Invention to a corporation or other entity for commercialization of the Invention pursuant to the terms of the Baylor Patent Policy. All payments made to, or equity received by, Assignors from any corporation or other entity commercializing the Invention shall be in exchange for Assignors' assignment of the Invention hereunder and pursuant to Assignors' rights under the Baylor Patent Policy.

The U.S. Commissioner of Patents and Trademarks is hereby requested to issue U.S. Letters Patent in accordance with this Assignment.

The Patent Offices throughout the world are requested to issue Letters Patent in accordance with this Assignment.

EXECUTED on the date indicated below opposite our signatures.

DATE: June 23<sup>rd</sup> 1998

[Signature]  
ALLAN BRADLEY

THE STATE OF TEXAS      §  
   §  
COUNTY OF HARRIS      §

This instrument was acknowledged by ALLAN BRADLEY, on the 25 day of June, 1998.



[Signature]  
Notary Public in and for  
the State of Texas

My Commission Expires:

7/26/98

DATE: 6/25/1998

[Signature]  
WEI WEN CAI

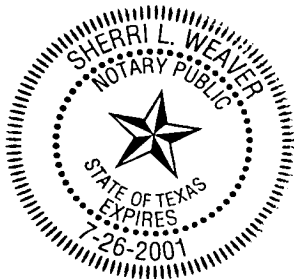
THE STATE OF TEXAS      §  
   §  
COUNTY OF HARRIS      §

This instrument was acknowledged by WEI WEN CAI, on the 25 day of June, 1998.

[Signature]  
Notary Public in and for  
the State of Texas

My Commission Expires:

7/26/98



UNITED STATES DEPARTMENT OF COM.  
Patent and Trademark OfficeASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

SEPTEMBER 30, 1998

PTAS

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1301 MCKINNEY, SUITE 5100  
HOUSTON, TEXAS 77010-3095

\*100772647A\*

jc530 U.S. PTO  
09/546085  
04/10/00UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 07/15/1998

REEL/FRAME: 9321/0312  
NUMBER OF PAGES: 5

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

## ASSIGNOR:

BRADLEY, ALLAN

DOC DATE: 06/23/1998

## ASSIGNOR:

CAI, WEI WEN

DOC DATE: 06/25/1998

## ASSIGNEE:

BAYLOR COLLEGE OF MEDICINE  
ONE BAYLOR PLAZA, SUITE 186A  
HOUSTON, TEXAS 77030

SERIAL NUMBER: 09071876

FILING DATE: 05/04/1998

PATENT NUMBER:

ISSUE DATE:

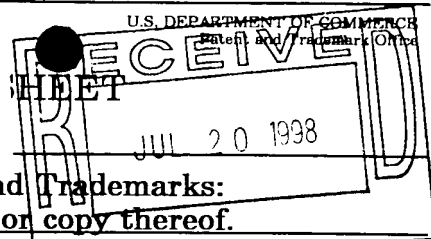
JOANN STEWART, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

RECEIVED
OCT 08 1998
Docket: P01433U58
Client: Baylor
Attorney: TDP



RECO.

07-23-1998



To the Honorable Commissioner of Patents and Trademarks:  
Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Allan Bradley  
Wei Wen Cai

Additional name(s) of conveying party(ies)  
attached? ☐ Yes ☒ No

2. Name and address of receiving party(ies):

Name: Baylor College of Medicine

Internal Address:

Street Address: One Baylor Plaza, Suite 186A

City: Houston

State: Texas Zip: 77030

3. Nature of Conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other

Additional name(s) & address(es) attached?

☐ Yes ☒ No

Execution Date: Bradley 06/23/98; Cai 06/25/98

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the  
execution date of the application is:

A. Patent Application No.(s): 09/071,876

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom  
correspondence concerning document should be  
mailed:

Name: Thomas D. Paul

Internal Address: Fulbright & Jaworski LLP

Street Address: 1301 McKinney

Suite 5100

City: Houston

State: Texas Zip: 77010-3095

6. Total number of applications and patents  
involved: 1

7. Total fee (37 CFR 3.41): . . \$ 40.00

☐ Enclosed

☒ Authorized to be charged to deposit account

8. Deposit account number:

06-2375 under order no. 974392

(Attach duplicate copy of this page if paying by deposit account)

07/22/1998 DCOATES 00000168 062375 09071876

01 FC:581 40.00 CH

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any  
attached copy is a true copy of the original document.

Thomas D. Paul

Name of Person Signing

*Thomas D. Paul*  
Signature

7/14/98  
Date

Total number of pages including cover sheet, attachments, and document.

5

Mail documents to be recorded with required cover sheet information to:  
Commissioner of Patents & Trademarks, Box Assignments  
Washington, D.C. 20231

MRD 7-15-98